



## UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/761,742	01/18/2001	Makoto Kayashima	566.39530X00

CONFIRMATION NO. 6168

020457

ANTONELLI TERRY STOUT AND KRAUS  
SUITE 1800  
1300 NORTH SEVENTEENTH STREET  
ARLINGTON, VA 22209

## FORMALITIES LETTER



\*OC000000005903592\*

Date Mailed: 03/26/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- **The balance due by applicant is \$ 130.**
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

06/05/2001 TV0111 00000007 012135 09761742

01 FC:102 320.00 CH  
02 FC:139 130.00 CH

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/21/2001 EABUBAK1 00000055 09761742

01 FC:105

130.00 OP



#7

Docket 566.39530X00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: KAYASHIMA, et al  
Serial No.: 09/761,742  
Filed: January 18, 2001  
Title: SECURITY MANAGEMENT SYSTEM AND METHOD THEREOF  
Group: 2635

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner July 18, 2001  
for Patents  
Washington, D.C. 20231


Sir:

Attached hereto is the Official Filing Receipt for the  
above-identified application, wherein it is noted that the **filing  
date is incorrect.**

Accordingly, it is respectfully requested that a corrected  
filing receipt be issued indicating **that the filing date to be  
January 18, 2001.**

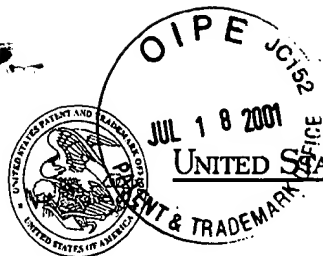
Respectfully submitted,

ANTONELLI, TERRY, STOUT & KRAUS, LLP

  
\_\_\_\_\_  
Carl I. Brundidge  
Registration No. 29,621

CIB/gfa  
(703) 312-6600

Attachments



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/761,742	05/18/2001 1-18-01	2635	1290	566.39530X00	26	7	7

020457  
ANTONELLI TERRY STOUT AND KRAUS  
SUITE 1800  
1300 NORTH SEVENTEENTH STREET  
ARLINGTON, VA 22209

CIB

CONFIRMATION NO. 6168

UPDATED FILING RECEIPT



\*OC000000006177588\*

Date Mailed: 06/13/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

**Applicant(s)**

Makoto Kayashima, Yamato, JAPAN;  
Masato Terada, Sagamihara, JAPAN;  
Yasuhiko Nagai, Tokyo, JAPAN;  
Hiromi Isokawa, Fujisawa, JAPAN;  
Kazuo Matsunaga, Yokohama, JAPAN;  
Eri Katoh, Yokohama, JAPAN;

**Domestic Priority data as claimed by applicant**

**Foreign Applications**

JAPAN 2000-270186 09/06/2000  
JAPAN 2000-12123 01/20/2000

**If Required, Foreign Filing License Granted 03/26/2001**

**Projected Publication Date: 09/20/2001**

**Non-Publication Request: No**

**Early Publication Request: No**

**Title**

Security management system and security managing method

**Preliminary Class**

340

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**Data entry by : LUENG, YIN**

**Team : OIPE**

**Date: 06/13/2001**

~~CONFIDENTIAL~~

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

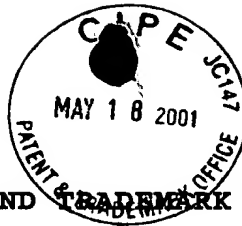
No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



4,  
566.39530X00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: M. KAYASHIMA, et al  
Serial No.: 09/761,742  
Filing Date: January 18, 2001  
For: SECURITY MANAGEMENT SYSTEM AND METHOD THEREFOR  
Art Unit: Not yet assigned  
Attention: Box Missing Parts

**SUBMISSION OF VERIFIED**  
**ENGLISH TRANSLATION OF SPECIFICATION**

Assistant Commissioner  
for Patents  
Washington, D.C. 20231

May 18, 2001

Sir:

In the matter of the above-identified application, which was originally filed on January 18, 2001 without an English translation of the specification, and responsive to the Notice to File Missing Parts of Application - Filing Date Granted dated March 26, 2001 please find attached hereto a Verified English Translation of the specification for submission in the above-identified application.

A check for the requisite \$130.00 fee is attached. Should any additional fees become due in connection with the filing of this Verified English Translation of the specification, please charge Deposit Account No. 01-2135 (Case No. 566.39530X00).

Respectfully submitted,

Carl I. Brundidge  
Registration No. 29,621  
ANTONELLI, TERRY, STOUT & KRAUS, LLP

CIB/jdc  
Enclosures  
703/312-6600



Section #

566.39530X00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: M. KAYASHIMA, et al  
Serial No.: 09/761,742  
Filing Date: January 18, 2001  
For: SECURITY MANAGEMENT SYSTEM AND METHOD THEREFOR  
Art Unit: Not yet assigned  
Attention: Box Missing Parts

SUBMISSION OF DECLARATION UNDER 37 CFR §1.63

Assistant Commissioner  
for Patents  
Washington, D.C. 20231

May 18, 2001

Sir:

In the matter of the above-identified application, which was originally filed on January 18, 2001 without a Declaration, and responsive to the Notice to File Missing Parts of Application Filing Date Granted dated March 26, 2001, please find attached hereto a Declaration for submission under 37 CFR §1.63, executed by each of the inventors in the above-identified application.

A Credit Card Payment Form authorizing the requisite \$130.00 fee is attached. Should any additional fees become due in connection with the filing of this Declaration, please charge Deposit Account No. 01-2135 (Case No. 566.39530X00).

Respectfully submitted,

Carl I. Brundidge  
Registration No. 29,621  
ANTONELLI, TERRY, STOUT & KRAUS, LLP

CIB/jdc  
Enclosures  
703/312-6600